*Pat McCrory, Governor*                     *Sharon Allred Decker, Secretary*

# Department of Commerce
# Information Technology Plan

## For 2014-2016 Biennium

## By

## Michael D. King

## Chief Information Officer, Commerce

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# Contents

Department of Commerce

# 1 INTRODUCTION

## 1.1 PURPOSE

This document provides agency data to the North Carolina State Chief Information Officer (SCIO) as required by G.S. 147-33.72B for the Information Technology Plan for the 2014-2016 Biennium. The statute mandates that each agency submit a technology plan to the SCIO by October 1 of each even-numbered year. The State Information Technology Plan (Plan) is required to cover a five-year time period. To properly inform the Plan, agency plans are also required to cover a five-year time period.

## 1.2 ROADMAP

| Goal | Objective | Initiative | Description | Funding Mechanism |
|---|---|---|---|---|
| Goal 1 – (LEAD) Publish labor market and economic development information and data | Objective 1.1 – Merge AccessNC and Demand Driven Data Deliver System applications | 1.1.1 | Perform requirements gathering and develop RFP | State/Federal |
| | | 1.1.2 | Design and develop combined application | State/Federal |
| | | 1.1.3 | Implement Solution | State/Federal |
| | | 1.1.4 | Retire existing applications | State/Federal |
| Goal 2 – (LEAD) Track outcomes of participants in the state's education, employment and training programs | Objective 2.1 – Enhance Common Follow-Up System | 2.1.1 | Update agency submission requirements | State/Federal |
| | | 2.1.2 | Establish new data storage architecture | State/Federal |
| | | 2.1.3 | Migrate historical data | State/Federal |
| | | 2.1.4 | Develop a plan for migration of data to Government Data Analytics Center (GDAC) | State/Federal |
| | Objective 2.2 – Expand NC Tower reporting application | 2.2.1 | Add summary outcome data for additional participating agencies | State/Federal |
| Goal 3 – (MIS) Enhance Consumer Services for | Objective 3.1 – Resume OITS IT consolidation | 3.1.1 | Transition to EADS services | State |

| Goal | Objective | Initiative | Description | Funding Mechanism |
|---|---|---|---|---|
| Commerce Core | | 3.1.2 | Outsource Server Support to OITS | Expansion Budget Request |
| | | 3.1.3 | Outsource LAN Support to OITS | Expansion Budget Request |
| | Objective 3.2 – Strengthen Application Development Environment (Focus on Personnel) | 3.2.1 | Analyze IT roles and staffing needs | State |
| | | 3.2.2 | Professional skills training | State |
| | | 3.2.3 | Implement Enterprise Project Management | State |
| | Objective 3.3 – Building Stronger Partnerships with Business Process Owners (Focus on Business) | 3.3.1 | Engage Enterprise IT Business Liaison Services | State |
| | | 3.3.2 | Enhance Customer Awareness of Resources | State |
| Goal 4 – (DES) To maximize the effective use of technology in the delivery of services to North Carolina's workers, employers, and the public through real time, telephone and internet-based, unemployment insurance benefit claims, access | Objective 4.1 – To meet rising customer expectations regarding expanded service access options, reduced response times for services transactions and provision of service that is of at least comparable quality to leading private sector service providers | 4.1.1 SCUBI Project - The design development and implementation of a new unemployment insurance benefits claims system | The states represented by the Southeast Consortium (NC, SC, GA) will share common core UI Benefits System that accommodates each state's unique requirements, that is vendor hosted and provides automated services to all consortium states | Federal |
| | | 4.1.2 To replace the Unemployment Insurance Tax Accounting legacy system used by DES for the quarterly reporting of | Other Consortium initiatives, also funded by USDOL, are engaged in efforts for new benefit payments and tax systems. DES will be in contact with these Consortium entities to determine if any of these | Federal |

| Goal | Objective | Initiative | Description | Funding Mechanism |
|---|---|---|---|---|
| | | wages and payment of taxes by North Carolina's employers | new tax systems will meet the needs of North Carolina. Consideration may also be given to extending the SCUBI Consortium to an effort for a new tax system | |
| Goal 5 – (DES) To increase the Security measures taken to protect the data of North Carolina, North Carolina's workers, employers and the public | Objective 5.1 – Improve the login process | 5.1.1 EADS (Enterprise Active Directory Security Software) | To update login and authenticate modules on ESCNET for EADS so current applications can function. <br><br> Also the implementation of moving ESCHQ domain into Enterprise Active directory at OITS | Federal |
| | Objective 5.2 – Network Redesign | 5.2.1 Separate DES/DWS networks | To separate provide support to DWS to establish DWS host network at 700 Wade Avenue, to provide NC WAN network access for out stationed <br><br> DES employees, to separate VRFs between DES and DWS | Federal |
| | | 5.2.2 Novell Shutdown | To complete the withdrawal from the State of North Carolina's Novell Directory Tree by migrating the file services from Novell hosts to Windows servers, completing set up of print services for DES clients, test and verify, remove Novell clients from desktops and laptops and shutting | Federal |

| Goal | Objective | Initiative | Description | Funding Mechanism |
|---|---|---|---|---|
| | | | down Novell file servers | |
| | | 5.2.3 Office 365 Implementation | Implement Office 365 to enhance Physical security, Logical security, Data security and Admin and user controls | Federal |
| Goal 6 – (Fiscal) Universal accounting system for all divisions of the Department of Commerce | Objective 6.1 – Merge the North Carolina Accounting System (NCAS) with the FARS Accounting System | 6.1.1 | Universal Accounting System for entire Department of Commerce | Potential Expansion Budget Request |
| Goal 7 – (Fiscal) Universal grants management system for the entire Department of Commerce | Objective 7.1 – Adopt a grants management system that satisfies all grant requirements for each division of the entire Department of Commerce | 7.1.1 | Universal Grants Management System for entire Department of Commerce | Potential Expansion Budget Request |
| Goal 8 – (Purchasing) Increase efficiency and improve customer service in the procurement of goods and services | Objective 8.1 – To efficiently handle all purchase requests using the E-procurement system | 8.1.1 | To work with various stakeholders to interface FARS with E-procurement, maintaining one system for purchases across all Commerce divisions, commissions and boards | Potential Expansion Budget Request |
| Goal 9 – (Welcome Centers) Improve service during peak times | Objective 9.1 – Provide self-service through electronic access to North Carolina travel information | 9.1.1 | To install electronic kiosks to provide additional resources for visitors to use to access information about the state's attractions, reaching potential visitors who prefer to receive information electronically and providing alternatives to travel counselors during peak times | Collaboration with other agencies for funding; potential expansion request |
| Goal 10 – (DWS) Efficiently collect and | Objective 10.1 – Maintain an integrated Workforce | 10.1.1 | Interface with additional systems or other | Federal |

| Goal | Objective | Initiative | Description | Funding Mechanism |
|---|---|---|---|---|
| report all data for USDOL requirements | Management Solutions System | | agencies data to provide a seamless experience. Interface to SCUBI, Community College data, DPI, WOTC | |
| | | 10.1.2 | Evaluate additional modules to improve efficiencies including greeter /scheduler module | Federal |
| | | 10.1.3 | Integrate Apprenticeship application into existing NCWorks | Federal |
| | Objective 10.2 – Current Application must change to meet new Federal Law | 10.2.1 | Obtain or develop a performance reporting tool to show upcoming performance measures using current data | Federal |
| | | 10.2.2 | Work with vendor to update current system to meet requirements of new WIOA law | Federal |
| Goal 11 – (DWS) Improve staff efficiencies by upgrading technology | Objective 11.1 – Update infrastructure to allow better support | 11.1.1 | Expand access to secure data for staff to share with partners using cloud based solutions | Federal |
| | | 11.1.2 | Upgrade Local office infrastructure to replace aging equipment and adding Public Wi-Fi | Federal |
| | Objective 11.2 – Allow staff access to data to become device agnostic to allow access by any PC, tablet or smartphone | 11.2.1 | Enhance DWS cloud offering to allow full data access on mobile devices. Investigate desktop solutions including virtual desktop and phone to allow staff | Federal |

| Goal | Objective | Initiative | Description | Funding Mechanism |
|---|---|---|---|---|
| | | | to work from anywhere | |
| Goal 12 – (DWS) Use data to drive strategies and ensure accountable | Objective 12.1 – Enhance reporting capabilities | 12.1.1 | Procure or develop tools to allow local Workforce Boards and Regional staff to be able to quickly report both participant and employer data | Federal |
| | | 12.1.2 | Work with partner agencies to allow real time labor data to be easily used by all interested analyst | Federal |
| | | 12.1.3 | Create state wide performance measures to assess the effectiveness of Workforce Development activities across the state | Federal |
| Goal 13 – (Rural) Improve the effectiveness and efficiency of the grants management process for the Community Development Block Grant (CDBG) and Rural Grants/Programs (RGP) sections | Objective 13.1 – Implement a shared, anytime/anywhere grants management solution | 13.1.1 Implementation of GIFTS Grants Management Software | The Rural Economic Development Division will implement the GIFTS Grants Management Software solution that will combine the existing and future grants for the CDBG and RGP sections into one management solution. The cloud-based program will: 1. Expand access to staff and grantees in the field, 2. Improve efficiency through streamlined processes and information sharing with grantees and partners, 3. Improve access to timely and comprehensive report | Receipts, Federal |

| Goal | Objective | Initiative | Description | Funding Mechanism |
|---|---|---|---|---|
| | | | generation across the CDBG and RGP grant programs, and | |
| | | | 4. Cut administrative costs by eliminating the management of separate grants management solutions. | |
| Goal 14 – (Utilities) Increase customer access to agency information | Objective 14.1 – Reduce and improve internal manual processes by expanding automated processes and reducing manual processes, paperwork, consolidating functions and reducing mailing cost. | 14.1.1 Expand electronic reporting and payments | Roll out Online Regulatory Fee reporting and payments on web site | Regulatory Receipts |
| | | 14.1.2 Reduce system risk by upgrading and replacing old systems with unsupported platform software. | Replace Regulatory Fee accounting system. | Regulatory Receipts |
| | | 14.1.3 Consolidate process to put like functions together in a system and create more efficient reporting. | Merge all accounts receivable functions into one system – Regulatory fees, Clerk's Office receipts, and miscellaneous Fiscal Management receipts. | Regulatory Receipts |
| Goal 15 – (Public Staff) Ensure data continuity for end users and improve overall network security | Objective 15.1 – Improve disaster recovery capabilities and network security | 15.1.1 | Refresh UPS | Receipts |
| | | 15.1.2 | Refresh ASA firewall | Receipts |
| | | 15.1.3 | Install Netscaler interface | Receipts |
| | Objective 15.2 – Enable more reliable email service and capability and improve FOI request capabilities | 15.2.1 | Install Exchange Server | Receipts |
| | | 15.2.2 | Install Email filtering and archiving software | Receipts |

| Goal | Objective | Initiative | Description | Funding Mechanism |
|---|---|---|---|---|
|  | Objective 15.3 – Replace end of life back-end hardware | 15.3.1 | Refresh file server | Receipts |
|  |  | 15.3.2 | Refresh server blades | Receipts |
| Goal 16 – (Public Staff) Ensure continued end user access to network | Objective 16.1 – Replace end of life or disabled end user equipment | 16.1.1 | Refresh end user PCs, laptops and thin clients | Receipts |
|  |  | 16.1.2 | Refresh printers and other peripherals | Receipts |
| Goal 17 – (Public Staff) Enhance website for more dynamic user interaction and capabilities | Objective 17.1 – Update and add improvements to agency website | 17.1.1 | Update website | Receipts |
|  |  | 17.1.2 | Make improvements to user availability of website | Receipts |
| Goal 18 – (Public Staff) Ensure maintenance of network facilities | Objective 18.1 – Maintain current status of licenses and maintenance agreements | 18.1.1 | Purchase annual license renewals and maintenance contracts for network hardware and software | Receipts |
| Goal 19 – (Industrial) Serve NCIC external stakeholders anytime, anywhere | Objective 19.1 – Enable online access for external users to view and work with data associated with their cases | 19.1.1 | Implement a consolidated case management system with external access | Expansion Budget Request |
|  | Objective 19.2 – Enable external users to pay all fees and file all documents online | 19.2.1 | Enhance online fee payment application | Existing Receipts |
|  |  | 19.2.2 | Enhance online document filing application | Existing Receipts |
| Goal 20 – (Industrial) NCIC claims and cases are processed with maximal efficiency | Objective 20.1 – Adopt a consolidated system for staff to use for all case management functions | 20.1.1 | Select, install, and configure a single adaptive case management system or framework | Expansion Budget Request, with ongoing support provided by existing receipts |
|  |  | 20.1.2 | Migrate all case data and functions from multiple existing platforms into | Expansion Budget Request, with |

| Goal | Objective | Initiative | Description | Funding Mechanism |
|---|---|---|---|---|
| | | | consolidated system | ongoing support provided by existing receipts |
| | Objective 20.2 – Provide user access to integrated insurance coverage data | 20.2.1 | Develop an improved coverage research application to leverage multiple data sets | Receipts |
| | | 20.2.2 | Provide enhanced external stakeholder access to accurate coverage information | Receipts |
| | Objective 20.3 – Enhance electronic data interchange (EDI) capabilities | 20.3.1 | Refine data requirements to streamline submissions in conjunction with external stakeholders | Receipts |
| | | 20.3.2 | Increase the number of transactions that must be submitted via EDI | Receipts |
| Goal 21 – (Industrial) NCIC data collection and analysis serve business functions well | Objective 21.1 – Enhance insurance coverage data | 21.1.1 | Enhance collection and formatting of insurance coverage data | Receipts |
| | | 21.1.2 | Transmit enhanced data to GDAC in support of the state's business intelligence initiatives | Receipts |
| | Objective 21.2 – Leverage medical payments data | 21.2.1 | Analyze data for ongoing review of medical and hospital fee schedules | Receipts |
| Goal 22 – (Credit Union) Promote service to members of NC state chartered credit unions | Objective 22.1 – Enable NC credit union members to more easily and efficiently submit complaints securely to the NC Credit Union Division via an online form by FY | 22.1.1 Online form | Online form to allow credit union members to submit complaints including urgent complaints more quickly. | Redirect from budgeted funds. |
| | | 22.1.2 Less data | Technology would allow | Redirect from |

| Goal | Objective | Initiative | Description | Funding Mechanism |
|---|---|---|---|---|
| | 2016 | entry and fewer errors | for information to automatically populate a database to reduce work redundancy and human error. | budgeted funds. |
| Goal 23 – (Credit Union) Provide credit union clients with secure environment for exchange of confidential information with Division | Objective 23.1 – Enable NC credit unions to transmit confidential information with Division via an appropriate vehicle by FY 2016 to facilitate regulation and supervision | 23.1.1 Secure portal | Portal to allow for exchange of confidential information. (ITS has suggested that SharePoint may suit our needs.) | Redirect from budgeted funds. Cost expected to be nominal. |

# 2 DEPARTMENT OF COMMERCE IT PLAN EXECUTIVE SUMMARY

The North Carolina Department of Commerce is the lead agency for economic development for the State of North Carolina.   Data and information are the life blood of the practice of economic development, critical for both policymakers and citizens to assess the economic landscape and make better decisions.

The Department leverages information technology in all facets of its work, and the data delivered from these systems reaches far and wide, from individual residents seeking job training or employment services to company executives evaluating the state as a business location.   With such high demand for accurate and timely information, and considering the scale necessary to meet this demand, the Department works diligently to maximize its existing and emerging information technologies in the most cost effective ways possible.

The Department's 2014-2016 Biennium IT Plan details a comprehensive and strategic approach to meeting the information needs of the organization and its stakeholders over the next two years. Not all divisions or operating units within Commerce have projects worthy of special identification within this plan, although it's worth noting all Commerce divisions rely on the Department's IT infrastructure to perform daily work.   The projects identified in this plan, however, do signal the diverse and complex nature of the Department's information technology needs and demonstrate the data and insights the Department is expected to deliver every day.

Highlights from the 2014-2016 plan include these items:

### MERGE ACCESSNC AND D4 SYSTEMS (LEAD DIVISION)

The Department of Commerce publishes labor and economic development information and statistics that many of our stakeholders depend on when making decisions – this core function is one of the most visible aspects of our work.   The Department of Commerce merged with the Employment Security Commission (ESC) following legislative action in the 2011 session - outlined in House Bill 200.   Prior to the merger, the Department developed the AccessNC system to deliver a wide variety of economic development data, such as business demographics and available industrial buildings and sites.   ESC developed the D4 system (Demand Driven Data Delivery) to publish unemployment and other statistics.   Now that ESC is a part of Commerce, the two data delivery systems should be merged into one, providing a much improved product and experience for our stakeholders.

### ENHANCE COMMON FOLLOW-UP SYSTEM (LEAD DIVISION)

North Carolina invests a tremendous amount of money on education and training programs. The purpose of the Common Follow-up System (CFS) is to provide information on the educational and employment outcomes resulting from this investment for use in planning, policymaking, program evaluation, resource allocation and career planning.   This project will enhance the current system in place at the Department.

### UNIFIED ACCOUNTING SYSTEM (FISCAL DIVISION)

Following the Commerce/ESC merger, the Department has been working to integrate operations of the two groups. ESC operates on a separate accounting system, called FARS, from other state agencies which employ NCAS. According to the Office of State Controller, it is impossible to merge NCAS with FARS. Therefore, today the Department of Commerce operates on two different accounting systems. The Department would like to merge these two accounting systems so that the entire organization can operate on the same accounting system. This universal system would likely be a new accounting system for all state agencies. The creation of this new universal accounting system would likely be statewide and adopted by each state agency. The funding would likely come from the General Assembly to benefit the entire state.

### GRANTS MANAGEMENT SYSTEM (FISCAL DIVISION)

Several divisions within the Department of Commerce operate grants management systems that satisfy the requirements of its programs. Each of these systems is different. A universal grants management system for the entire department would be beneficial so that all grants are handled the same way. The funding for a universal grants management system would likely be from a future expansion request to the General Assembly or if the whole state adopts a new accounting system there would likely be a grants management module within the new system.

### MODERNIZE SERVERS, STORAGE AND SWITCHES (PUBLIC STAFF UNIT)

The Public Staff's back-end hardware (servers, storage, switches) is between five and seven years old. As a result, much of the equipment has reached its end of life. In addition, the Public Staff's web presence has not been revised in over ten years and is in need of a refresh. Normal end user equipment replacement also needs to be considered as well as continued software licenses and hardware maintenance contracts. The agency's roadmap includes provisions for these critical improvements and enhancements.

The agency's plans will allow it to improve its disaster recovery capabilities and overall network security as well as provide users with more reliable email service and improve its ability to respond to Freedom of Information requests.

While most of the end user equipment has not reached its end of life, the warranties have expired on the equipment and the Public Staff is beginning to experience some equipment failure resulting in a need for replacement of end user equipment. Continued annual maintenance contracts and software license renewals are also critical to ensure the continued availability of the Public Staff's network.

The Public Staff's web presence is in need of improvement. The site is essentially static and the agency has identified a need for additional capabilities to improve information flow and interaction with both consumers and utility companies.

Information technology is a critical force multiplier for any economic development organization. The initiatives outlined on the following pages will enable the North Carolina Department of

Commerce to deliver the information and insights people need to sustain and grow the North Carolina economy.

# 3 GUIDANCE

## 3.1 SCIO GUIDANCE

### IT Vision

Making government services more accessible and efficient for all consumers is the foundation of the One IT strategy.

### IT Mission

Promoting a stronger North Carolina that connects citizens, businesses, education, and government is the mission of IT.

### IT Strategies

Strategies focus organizations to achieve complicated goals or objectives. With an eye to the future while sustaining current foundational requirements, the SCIO has adopted the "ABC" strategy to fix and modernize IT.
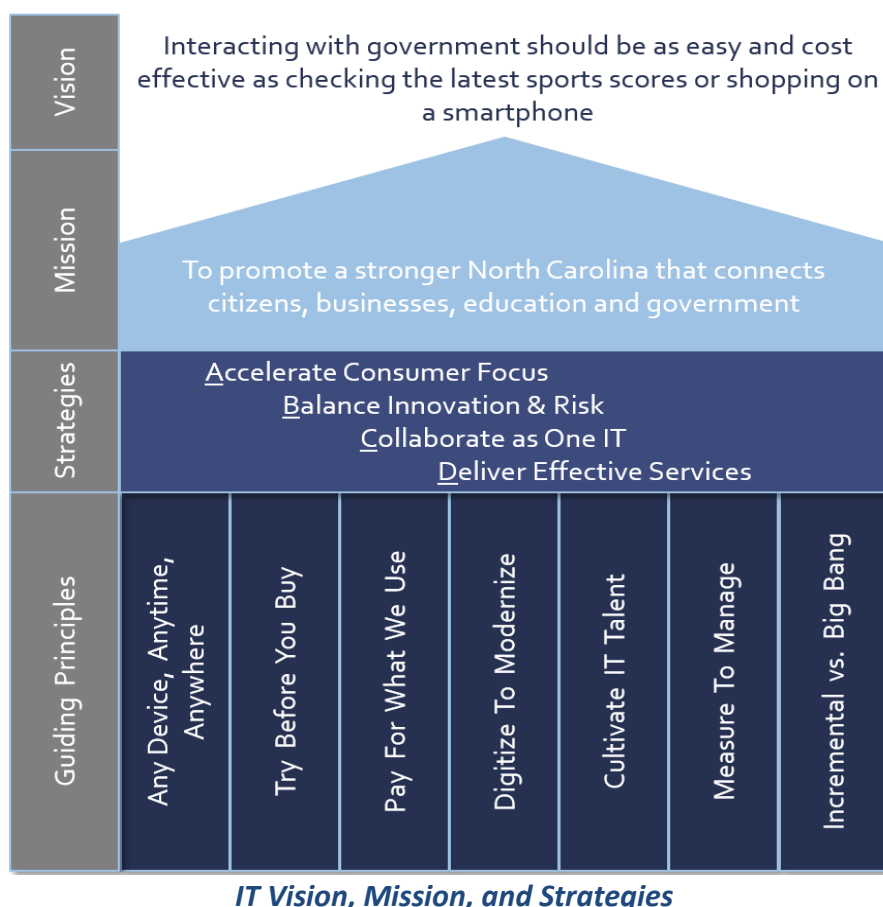


*IT Vision, Mission, and Strategies*

| | Strategy | Intended to: |
|---|---|---|
| **A.** | Accelerate Consumer Focus | Embrace the consumerization of IT with a focus on the requirements of the consumer of technology |
| **B.** | Balance Innovation and Risk | Try newer technologies while managing enterprise risk |
| **C.** | Collaborate as One IT | Work as a team to accomplish our mission |
| **D.** | Deliver Effective Operations | Focus on achieving business outcomes through effective and efficient technology delivery |

In addition to the seven guiding principles outlined above, the SCIO's Cabinet Unite IT Strategy focuses strongly on collaborative IT governance, big data and analytics (to include, but not limited to, work with GDAC and GIS), IT operations, and innovation.

The table below outlines the six IT business capabilities and five IT organizational capabilities highlighted in the Cabinet Unite IT Strategy.

| Business Capabilities | Organizational Capabilities |
|---|---|
| Digital Focus | Collaborative IT Governance |
| Big Data and Analytics | Strategic Planning and Architecture |
| Enterprise Resource Planning | IT Program and Project Management |
| Application and Service Modernization | Innovation |
| Risk Management and Security | Talent Development and Management |
| IT Operations | |

Please consider these areas, along with the seven guiding principles and your agency-specific goals and objectives when creating agency IT goals and objectives.

# 4 DEPARTMENT OF COMMERCE VISION, MISSION, VALUES AND GOALS

## 4.1 VISION

North Carolina is the state where people thrive. When people thrive, business thrives.

## 4.2 MISSION

The mission of the North Carolina Department of Commerce is to improve the economic well-being and quality of life for all North Carolinians.

The mission is carried out by serving existing business and industry, including providing international trade assistance; recruiting new jobs and domestic and foreign investment; encouraging entrepreneurship and innovation; marketing North Carolina and its brand; supporting workforce development; strengthening communities; promoting tourism, film and sports development; and managing the state's unemployment insurance program. The Department also provides data, statistics, information and reports for state government and agencies, which regulate commerce in the state.

## 4.3 VALUES

Values guide our actions and decision making. The N.C. Department of Commerce values:

- Collaboration: The work of the Department cannot be accomplished without harnessing the knowledge and resources of people and organizations at the local, regional, state, national and international levels. Effective collaboration is critical to accomplishing our mission.

- Precision: The Department deals with complex systems, processes, rules and data that require our team members to analyze situations and information carefully.

- Excellence: We maintain high standards for ourselves and our daily work. We seek to excel, always.

- Integrity: We seek to always be fair-minded, honest and consistent in our decisions and actions.

- Tenacity: The Department works with a broad range of people and organizations, and the details of our work can be complex and at times confusing. We value the determination and grit it takes to drive forward through unexpected roadblocks to reach our goals.

- Helpfulness: We extend a friendly hand to North Carolinians of all walks of life. Economic circumstances can be challenging – we're here to help.

## 4.4 AGENCY GOALS

The N.C. Department of Commerce's goals for Information Technology include:

- Publish Labor Market and Economic Development Information and Data (Division: LEAD)
- Track outcomes of participants in the state's education, employment and training programs (Division: LEAD)
- Enhance Consumer Services for Commerce Core (Division: MIS)
- Maximize the effective use of technology in the delivery of services to North Carolina's workers, employers, and the public through real time, telephone and internet-based, unemployment insurance benefit claims, access (Division: (DES))
- Increase the Security measures taken to protect the data of North Carolina, North Carolina's workers, employers and the public (Division: DES)
- Create a universal accounting system for all divisions of the Department of Commerce (Division: Fiscal)
- Create a universal grants management system for the entire Department of Commerce (Division: Fiscal)
- Increase efficiency and improve customer service in the procurement of goods and services (Division: Purchasing)
- Improve service during peak times (Unit: Welcome Centers)
- Efficiently collect and report all data for USDOL requirements (Division: DWS)
- Improve staff efficiencies by upgrading technology (Division: DWS)
- Use data to drive strategies and ensure accountable (Division: DWS)
- Improve the effectiveness and efficiency of the grants management process for the Community Development Block Grant (CDBG) and Rural Grants/Programs (RGP) sections (Division: Rural)
- Increase customer access to agency information (Utilities Commission)
- Ensure data continuity for end users and improve overall network security (Public Staff)
- Ensure continued end user access to network (Public Staff)
- Enhance website for more dynamic user interaction and capabilities (Public Staff)
- Ensure maintenance of network facilities (Public Staff)
- Serve NCIC external stakeholders anytime, anywhere (Industrial Commission)
- NCIC claims and cases are processed with maximal efficiency (Industrial Commission)
- NCIC data collection and analysis serve business functions well (Industrial Commission)
- Promote service to members of NC state chartered credit unions (Division: Credit Union)
- Provide credit union clients with secure environment for exchange of confidential information with Division (Division: Credit Union)

# 5 DEPARTMENT OF COMMERCE IT VISION, MISSION, AND VALUES

## 5.1 IT VISION

Deliver effective and responsive services where people work, live and play.

## 5.2 IT MISSION

Enhance Commerce's ability to engage clients by providing customer focused Information Technology solutions.

## 5.3 IT VALUES

Commerce IT services a variety of customers. For that reason, the IT Values of "Commerce" may vary by the customers we serve and those providing the service. As a department, we share the following common core values:

- Provide cost-effective, secure and reliable solutions
- Deliver customer-centric, not technology-centric solutions
- Test before purchase
- Build supportable solutions
- Customer friendly service
- Proactive IT asset maintenance

# 6 DEPARTMENT OF COMMERCE IT GOALS, OBJECTIVES AND INITIATIVES

## 6.1 GOAL – (LEAD) PUBLISH LABOR MARKET AND ECONOMIC DEVELOPMENT INFORMATION AND DATA

The Labor and Economic Analysis Division (LEAD) collects, analyzes and publishes data on the North Carolina economy and labor force. The use of a web application to publish this data is the most efficient method for reaching the largest possible audience.

There will be a focus on cross browser and cross platform development. This will move towards the goal of any device, anytime, anywhere.

### 6.1.1 Objective – Merge AccessNC and Demand Driven Data Delivery System Applications

Prior to the merger of the North Carolina Department of Commerce and the Employment Security Commission, both agencies had independent web products to enable the publication of pertinent economic development and labor force data. Following the merger, it makes financial and organizational sense to combine these systems and to readdress the way information is distributed to the end user.

- Measure – This project has an anticipated completion data of 09/01/15. Outcomes should include retirement of outdated systems leading to a 20% reduction in hardware

#### 6.1.1.1 *Initiative – Work OITS Business Analysts to gather requirements, use cases and develop RFP.*

In light of changing technologies, neither of the existing systems fully meets the needs of the user base. In order to identify expectations and requirements, LEAD will work with business analysts from OITS to identify and prioritize requirements, tasks and responsibilities.

- Measure – RFP issued by 12/1/14
- Funding – Non-Recurring funding for development of merged application from state funds. Additional funds provided through Federal Workforce Information Grant

#### 6.1.1.2 *Initiative – Design and develop combined application.*

Using the system requirements gathered during the needs assessment process, a timeline will be established determining the necessary technologies to build the application. Following the application development phase, user acceptance testing will begin.

- Measure – Report to Joint Legislative Oversight Committee on Information Technology and the Fiscal Research Division on the progress of the merger, including whether there are improved efficiencies and cost savings, 02/01/15. Development completed by 06/30/15

- Funding – Non-Recurring funding for development of merged application from state funds. Additional funds provided through Federal Workforce Information Grant

### 6.1.1.3 *Initiative – Implement Solution*

Complete development and deploy application to the end user on existing IT infrastructure. Monitor and maintain application and level of usage.

- Measure – User acceptance by 08/01/15
- Funding – Non-Recurring funding for development of merged application from state funds. Additional funds provided through Federal Workforce Information Grant

### 6.1.1.4 *Initiative – Retire existing applications*

Once the new system has been implemented we will retire the applications being replaced and take necessary steps in ensure any data that needs to be archived is done so in an appropriate manner.

- Measure – Reduce hardware by 20%
- Funding – Non-Recurring funding for development of merged application from state funds. Additional funds provided through Federal Workforce Information Grant

## 6.2 GOAL – (LEAD) TRACK OUTCOMES OF PARTICIPANTS IN THE STATE'S EDUCATION, EMPLOYMENT AND TRAINING PROGRAMS

Currently, there are several initiatives at the state and national level that are converging around developing and enhancing data sharing and data linkages between and among education, workforce, unemployment insurance, employment and wage related data sources. Tracking this data allows analysts and researchers to determine the efficacy of training and education programs by mapping the employment history of each participant.

The SCIO guiding principles taken into account are incremental vs big bang and measure to manage. The project has been broken into smaller components as outlined below. Additionally, by providing online tools to view outcomes by agency and program administrators will have a more complete picture of how their programs relate to the state's workforce.

### 6.2.1 Objective – Enhance Common Follow-Up System

The strategy is to work with internal and external stakeholders defined by Chapter 96 to develop a plan to update the Common Follow-Up System from a mainframe application to a more modern system using a RDBMS.

- Measure – Update agency submission requirements by 06/01/15. Implement enhanced data architecture by 2015 agency submissions. Complete historical data migration by 06/01/15

### 6.2.1.1 *Initiative – Update agency submission requirements*

Work with partner agencies to identify their data structures for tracking program participants and evaluate the value of data components to the Common Follow-Up system.

- Measure – Update agency submission requirements by 06/01/15
- Funding – State appropriated funding in conjunction with Federal Workforce Data Quality Initiative Grant

### 6.2.1.2 *Initiative – Establish new data storage architecture*

Using the updated data formats provided in initiative 2.1.1 develop a data architecture for housing data from disparate sources. The data architecture needs to be designed in a manner that improves data access and allows for in depth analysis within each agencies data as well as across all programs/agencies.

- Measure – Implement enhanced data architecture by 2015 agency submissions
- Funding – State appropriated funding in conjunction with Federal Workforce Data Quality Initiative Grant

### 6.2.1.3 *Initiative – Migrate historical data*

Develop ETL processes to migrate historical data currently housed in the Common Follow-Up System into the updated data storage architecture.

- Measure – Complete historical data migration by 06/01/15
- Funding – State appropriated funding in conjunction with Federal Workforce Data Quality Initiative Grant

### 6.2.1.4 *Initiative – Develop a plan for migration of data to Government Data Analytics Center (GDAC)*

The Department of Commerce, Labor & Economic Analysis Division (LEAD), shall develop a plan to transfer the information and required capabilities of the Common Follow-Up System to the Government Data Analytics Center (GDAC).

- Measure –The Department shall submit the plan to the Office of the State Chief Information Officer, the Joint Legislative Oversight Committee on Information Technology, and the Fiscal Research Division, 02/01/15
- Funding – State appropriated funding in conjunction with Federal Workforce Data Quality Initiative Grant

## 6.2.2 Objective – Expand NC TOWER

The North Carolina Tool for Online Workforce and Education Research (NC TOWER) was released in April of 2014. The online application provides users the ability to compare the outcomes of programs within and across education providers. The initial release contains information from the University of North Carolina General Administration as well as the NC Community College System.

6.2.2.1 *Initiative – Add summary outcome data for additional participating agencies*
Analyze data from the remaining participant agencies to include in the online tool. This is an iterative process of analysis and review to ensure that the participating agencies data is being interpreted correctly.

- Measure – Complete the addition of remaining participant agencies by 08/31/15
- Funding – State appropriated funding in conjunction with Federal Workforce Data Quality Initiative Grant

## 6.3 GOAL – (MIS) ENHANCE CONSUMER SERVICES FOR COMMERCE CORE

Commerce is comprised of various agencies, boards and commission with independent customers and responsibilities. This variance creates unique challenges to provide common oversight and shared services.

Our goal in enhancing consumer services will focus on infrastructure, personnel and business.

### 6.3.1 Objective – Resume OITS IT consolidation (Focus on Infrastructure)

As part of Senate Bill 991, the Department of Commerce was required to participate in statewide IT consolidation. Department IT positions were to be transferred to OITS and funding for those positions returned to the originating department. The returned funds would then pay for OITS services rendered.

The Commerce IT positions were transferred to OITS from the MIS division, however, the funding for the positions was not retained within Commerce. As a result, MIS and the department, have operated with inadequate IT funding to pay for support services from OITS since initial consolidation. Infrastructure support has been maintained by capable, but misaligned, residual IT staff primarily comprised of application developers.

Recovering the lost funding through a successful expansion budget request would provide the necessary resources to pay for Information Technology services that support programs and divisions of the Department of Commerce.

- Applied Strategies – Accelerate Consumer Focus, Collaborate as One IT, Deliver Effective Operations

6.3.1.1 *Initiative - Transition to EADS services*
Transitioning Active Directory Services to OITS will correctly align the enterprise support for this service. Additionally, the enterprise solution will provide a more robust authentication and authorization method for inter-agency and intra-agency access.

- Proposed Timeline – FY15
- Measure – 20% increase in development man hours
- Funding – State Funding

### 6.3.1.2 *Initiative - Outsource Server Support to OITS*

Transitioning Server Support to OITS will correctly align the enterprise support for this service and increase resilience. This realignment will also allow MIS staff to focus directly on appropriate work.

- Proposed Timeline – FY15 – FY16
- Measure – 20% increase in development man hours
- Funding – Proposed Expansion Budget Request

### 6.3.1.3 *Initiative - Outsource LAN Support to OITS*

Transitioning LAN Support to OITS will correctly align the enterprise support for this service and increase resilience. This realignment will also allow MIS staff to focus directly on appropriate work.

- Proposed Timeline – FY15 – FY16
- Measure – 20% increase in development man hours
- Funding – Proposed Expansion Budget Request

## 6.3.2 Objective – Strengthen Application Development Environment (Focus on Personnel)

Our objective in strengthening application development environment will focus on staffing needs, training and project management.

- Applied Strategies – Collaborate as One IT, Deliver Effective Operations

### 6.3.2.1 *Initiative – Analyze IT roles and staffing needs*

In coordination with business process owners, MIS will review existing and projected IT needs and align skills to objective. Review will emphasize Security and Project Management.

- Proposed Timeline – On-going
- Measure – 10% decrease in project delivery time
- Funding – State

### 6.3.2.2 *Initiative – Professional skills training*

In previous years, MIS has been required to transition training funds to alternate needs. The consequence of neglecting training ultimately leads to diminished productivity. MIS plans to adopt an ongoing training program to maintain skill sets to meet the evolving needs of Commerce.

- Proposed Timeline – On-going
- Measure – 20% decrease in project delivery time
- Funding – State

### 6.3.2.3 *Initiative – Implement Enterprise Project Management*

Implementing a structured methodology will ensure timely, more successful and higher-quality solutions. Ultimately, we want to get better at delivering better products.

- Proposed Timeline – On-going

- Measure – 20% improvement in delivery of solutions
- Funding – State

### 6.3.3 Objective – Building Stronger Partnerships with Business Process Owners (Focus on Business)

Our objective in building stronger partnerships with business process owners will focus on engaging enterprise IT project management services and customer awareness opportunities.

- Applied Strategies – Accelerate Consumer Focus, Collaborate as One IT, Deliver Effective Operations

#### 6.3.3.1 *Initiative – Engage Enterprise IT Business Liaison Services*

Utilize OITS IT Business Liaisons to interface with business process owners and developers to translate business needs into effective solutions.

- Proposed Timeline – On-going
- Measure – 20% improvement in delivery of solutions
- Funding – State

#### 6.3.3.2 *Initiative – Enhance Customer Awareness of Resources*

Enhance customer awareness of resources by providing consulting services and showcasing existing, new and emerging technologies.

MIS staff will serve as the IT Liaison for matching IT solutions to business needs.

Customers can increase their awareness of available resources through the use of the newly deployed department-wide intranet hub that serves as an organizational self-discovery tool.

Possible future opportunities may include Microsoft SharePoint through the O365 statewide initiative.

- Applied Strategy – On-going
- Measure – 20% increased use of existing human and hardware resources
- Funding – State

### 6.4 GOAL – (DES) TO MAXIMIZE THE EFFECTIVE USE OF TECHNOLOGY IN THE DELIVERY OF SERVICES TO NORTH CAROLINA'S WORKERS, EMPLOYERS, AND THE PUBLIC THROUGH REAL TIME, TELEPHONE AND INTERNET-BASED, UNEMPLOYMENT INSURANCE BENEFIT CLAIMS, ACCESS

### 6.4.1 Objective – To meet rising customer expectations regarding expanded service access options, reduced response times for services transactions and provision of service that is of at least comparable quality to leading private sector service providers

### 6.4.1.1 *Initiative – SCUBI Project - The design development and implementation of a new unemployment insurance benefits claims system*

The states represented by the Southeast Consortium (NC, SC, GA) will share common core UI Benefits System that accommodates each state's unique requirements, that is vendor hosted and provides automated services to all consortium states.

### 6.4.1.2 *Initiative – To replace the Unemployment Insurance Tax Accounting legacy system used by DES for the quarterly reporting of wages and payment of taxes by North Carolina's employers*

Other Consortium initiatives, also funded by USDOL, are engaged in efforts for new benefit payments and tax systems. DES will be in contact with these Consortium entities to determine if any of these new tax systems will meet the needs of North Carolina. Consideration may also be given to extending the SCUBI Consortium to an effort for a new tax system.

## 6.5 GOAL – (DES) TO INCREASE THE SECURITY MEASURES TAKEN TO PROTECT THE DATA OF NORTH CAROLINA, NORTH CAROLINA'S WORKERS, EMPLOYERS AND THE PUBLIC

### 6.5.1 Objective – Improve the login process

#### 6.5.1.1 *Initiative – EADS (Enterprise Active Directory Security Software)*

To update login and authenticate modules on ESCNET for EADS so current applications can function.

Also the implementation of moving ESCHQ domain into Enterprise Active directory at OITS.

### 6.5.2 Objective – Network Redesign

#### 6.5.2.1 *Initiative – Separate DES/DWS networks*

To separate provide support to DWS to establish DWS host network at 700 Wade Avenue, to provide NC WAN network access for out stationed DES employees, to separate VRFs between DES and DWS.

#### 6.5.2.2 *Initiative – Novell Shutdown*

To complete the withdrawal from the State of North Carolina's Novell Directory Tree by migrating the file services from Novell hosts to Windows servers, completing set up of print services for DES clients, test and verify, remove Novell clients from desktops and laptops and shutting down Novell file servers.

#### 6.5.2.3 *Initiative – Office 365 Implementation*

Implement Office 365 to enhance physical security, logical security, data security and administrative and user controls.

## 6.6 GOAL – (FISCAL) UNIVERSAL ACCOUNTING SYSTEM FOR ALL DIVISIONS OF THE DEPARTMENT OF COMMERCE

### 6.6.1 Objective – Merge the North Carolina Accounting System (NCAS) with the FARS Accounting System

#### 6.6.1.1 *Initiative – Universal Accounting System for entire Department of Commerce*

The Department of Commerce was merged with the Employment Security Commission in the 2011 Session and is outlined in House Bill 200. ESC is on a separate accounting system from other state agencies called FARS. According to the Office of State Controller, it is impossible to merge NCAS with FARS. Therefore, the Department of Commerce operates on two different accounting systems. The department would like to merge these two accounting systems so that the entire department can operate on the same accounting system. This universal system would likely be a new accounting system for all state agencies. The creation of this new universal accounting system would likely be statewide and adopted by each state agency. The funding would likely come from the General Assembly to benefit the entire state.

## 6.7 GOAL – (FISCAL) UNIVERSAL GRANTS MANAGEMENT SYSTEM FOR THE ENTIRE DEPARTMENT OF COMMERCE

### 6.7.1 Objective – Adopt a grants management system that satisfies all grant requirements for each division of the entire Department of Commerce

#### 6.7.1.1 *Initiative – Universal Grants Management System for entire Department of Commerce*

The divisions within the Department of Commerce currently operate several different grants management systems that satisfy the requirements of their grants. A universal grants management system for the entire department would be beneficial so that all grants are handled the same way. The funding for a universal grants management system would likely be from a future expansion request to the General Assembly or if the whole state adopts a new accounting system there would likely be a grants management module within the new system.

## 6.8 GOAL – (PURCHASING) INCREASE EFFICIENCY AND IMPROVE CUSTOMER SERVICE IN THE PROCUREMENT OF GOODS AND SERVICES

The Purchasing Office provides its customers, including all Commerce divisions, commissions and boards, with guidance and support in the procurement of goods and services. While some Divisions currently use the state's preferred procurement method, E-procurement, others are currently tied to a more paper-driven procurement system.

### 6.8.1 Objective – To efficiently handle all purchase requests using the E-procurement system, thereby increasing the speed with which purchase requests are reviewed and approved; further eliminating use of paper; and realizing processing, marketing and administrative cost savings.

#### 6.8.1.1 *Initiative – Collaborate procurement across one system*
To work with various stakeholders to interface FARS with E-procurement, maintaining one system for purchases across all Commerce divisions, commissions and boards.

## 6.9 GOAL – (WELCOME CENTERS) IMPROVE SERVICE DURING PEAK TIMES

### 6.9.1 Objective – Provide self-service through electronic access to North Carolina travel information

#### 6.9.1.1 *Initiative – Install Electronic kiosks for additional customer service*

To install electronic kiosks to provide additional resources for visitors to use to access information about the state's attractions, effectively providing additional information outlets during peak times and reaching potential visitors who prefer to receive information electronically.

## 6.10 GOAL – (DWS) EFFICIENTLY COLLECT AND REPORT ALL DATA FOR USDOL REQUIREMENTS

The NC Division of Workforce Solutions receives grants from USDOL and to provide services to individuals and Employers. USDOL has a requirement that we must accurately report the number or individuals and employers served. The Division of Workforce Solutions contracted with Geographic Solutions to maintain all DOL data and employers and individuals' data on NCWorks Online website. The online website supports the ideas that are in Workforce Reform Bill ((S815) passed in 2012 by creating a common intake to all system's.

### 6.10.1 Objective – Maintain an integrated Workforce Management Solutions System

#### 6.10.1.1 *Initiative – Interface with additional systems or other agencies data to provide a seamless experience. Interface to SCUBI, Community College data, DPI, WOTC*
The Workforce Division has a system that collects all the Job seeker and Employer data information as part of the State Job board, also use this system to track services that are provided as part of our WIA, TAA, NEG and other grants. In order for the end user to have a seamless experience, DWS goal is to interface to other systems that are being developed or currently being used by other state agencies, this includes the new DES SCUBI system for unemployment Insurance. There will be multiple interfaces

with this system as it is developed to ensure ease of use for individuals and Employers. The vendor will create interfaces with systems from other agencies including Community College system and DPI.

### 6.10.1.2 *Initiative – Evaluate additional modules to improve efficiencies including greeter /scheduler module*

The Workforce System was purchased by a vendor, Geographic Solutions, the premier vendor across the state. The vendor has additional modules developed or is in the process of developing that could be of value to NC. This includes modules that will enhance our current system such as the Mobile Module to allow job matching to be done on a smartphone or tablet in a native application. The vendor also has additional programs including some job training programs from TANF that may also be added to NC workforce system.

### 6.10.1.3 *Initiative – Integrate Apprenticeship application into existing NCWorks*

In July 2013 the Apprenticeship division was moved from the Department of Labor to the Department of Commerce. The system used to track apprentices and sponsors was developed and is supported by a third party vendor. DWS plans to work with the NCWorks vendor Geographic solutions to integrate apprenticeship module as a standard part of the NCWorks system.

## 6.10.2 Objective – Current Application must change to meet new Federal Law

On July 22 2014, the Workforce Innovation and Opportunity Act (WIOA) was signed into law by President Barack Obama. WIOA is designed to help job seekers access employment, education, training, and support services to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy. The NCWorks application will have to be modified to meet the requirements of the law when it is released in February 2015. WIOA partially goes into effect in July 2015 and all changes and reports will have to be completed by July 2016 when it is completely in effect.

### 6.10.2.1 *Initiative – Obtain or develop a performance reporting tool to show upcoming performance measures using current data*

With the changes around WIOA, all of our required federal reporting performance measures will change. The division wants to be prepared and run a baseline of our performance measures with our current data. The division will either procure a tool that does this or work with our NCWorks vendor to develop these reports.

### 6.10.2.2 *Initiative – Work with vendor to update current system to meet requirements of new WIOA law*

WIOA will require some significant changes to our current system, Our NCWorks vendor, Geographic solutions has 20 other states that will work with NC to develop new requirements for WIOA. The initiative must be done before July 2016.

## 6.11 GOAL – (DWS) IMPROVE STAFF EFFICIENCIES BY UPGRADING TECHNOLOGY

The division has 700 staff and hundreds of additional partners that we provide equipment and support in 70+ offices across the state. DWS will take advantage of new technology to provide staff with better resources and more options for efficiencies.

### 6.11.1 Objective – Update infrastructure to allow better support

Some of the current offices have infrastructure including switches that are almost ten years old and need to be replaced as budget allows.

#### 6.11.1.1 *Initiative – Expand access to secure data for staff to share with partners using cloud based solutions*

DWS is working to create a private cloud that will allow staff to access data stored on the DWS network to be accessible by staff that is out of band. This would include access from mobile devices or from home if they have a current Active Directory account.

#### 6.11.1.2 *Initiative – Upgrade Local office infrastructure to replace aging equipment and adding Public Wi-Fi*

Over the next few years we will upgrade our aging equipment in the local offices to provide consistent support. The division will evaluate the local offices and make sure each office has the right equipment based on current and future staffing. The division will add Wi-Fi Access for the public. This would allow people to use their own device while in a DWS office.

### 6.11.2 Objective – Allow staff access to data to become device agnostic to allow access by any PC, Tablet or Smartphone

#### 6.11.2.1 *Initiative – Enhance DWS cloud offering to allow full data access on mobile devices. Investigate desktop solutions including Virtual Desktop and phone to allow staff to work from anywhere*

DWS will continue to provide upgraded services to staff remotely or from home. The division continues to have staff stationed in partner agencies and can no longer control the equipment they need to use to access information. Provide the back office access to data no matter what kind of desktop/mobile device they use.

## 6.12 GOAL – (DWS) USE DATA TO DRIVE STRATEGIES AND ENSURE ACCOUNTABLE

DWS wants to provide the best tools to use data to make the right decisions.

### 6.12.1 Objective – Enhance reporting capabilities

DWS needs to make sure it hase the ability to allow access to data to make decisions in supporting the system.

6.12.1.1 *Initiative – Procure or develop tools to allow local Workforce Boards and Regional staff to be able to quickly report both participant and employer data*

The division will need to procure or develop a reporting tool that will gather all the data that is collected by staff to provide Workforce Boards and DWS staff the ability to quickly and accurately report participant and employer data. DWS will work with LEAD to share common data.

6.12.1.2 *Initiative – Work with partner agencies to allow real time labor data to be easily used by all interested analyst*

DWS has access to a large volume of data that is shared with other agencies such as LEAD to meet both our needs and the needs of our partners. DWS needs to share data as much as possible and work towards a common reporting system.

6.12.1.3 *Initiative – Create statewide performance measures to assess the effectiveness of Workforce Development activities across the state*

DWS has mandated measures from USDOL, but there are other items that the division will create reports to measure. This requires use of data from multiple sources and DWS must have the ability to assess the effectiveness of our Workforce Programs.

## 6.13 GOAL – (RURAL) IMPROVE THE EFFECTIVENESS AND EFFICIENCY OF THE GRANTS MANAGEMENT PROCESS FOR THE COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) AND RURAL GRANTS/PROGRAMS (RGP) SECTIONS

### 6.13.1 Objective – Implement a shared, anytime/anywhere grants management solution

6.13.1.1 *Initiative – Implementation of GIFTS Grants Management Software*

The Rural Economic Development Division will implement the GIFTS Grants Management Software solution that will combine the existing and future grants for the CDBG and RGP sections into one management solution. The cloud-based program will: 1. Expand access to staff and grantees in the field; 2. Improve efficiency through streamlined processes and information sharing with grantees and partners; 3. Improve access to timely and comprehensive report generation across the CDBG and RGP grant programs; and 4. Cut administrative costs by eliminating the management of separate grants management solutions.

## 6.14 GOAL – (UTILITIES) INCREASE CUSTOMER ACCESS TO AGENCY INFORMATION

While the long term goal of the IT organization is to use technology to facilitate the business needs of the Commission, it is necessary for the customers of the Commission as well as other internal and external users to supporter day-to-day business operations in a cost effective manner. Through the expansion of our web page and added functionality of the docket system, we hope to allow our customers to search and obtain any information through their own access to us.

### 6.14.1 Objective – Reduce and improve internal manual processes by expanding automated processes and reducing manual processes, paperwork, consolidating functions and reducing mailing cost

We have and continue to want to expand our use of process workflows – allowing internal and external customers to electronically file documents. This reduces the manual effort of paper documents coming to the office and having to be scanned and manually handled. The new workflows have also provided for electronic notifications and copies being provided verses paper copies being mailed.

We also continue to expand electronic payments and interfaces to consolidate accounts receivable process flows.

#### 6.14.1.1 *Initiative – Expand electronic reporting and payments*

Currently, we are in the process of rolling out Online Regulatory Fee reporting and payments on the website. This will reduce the number of paper reports and checks that need to be opened and accounted for as well as manually applied to a utility companies account. This will also expedite the timeframe by which it takes for receipts to post to our bank account verses the manual accounting for checks and walking them to Commerce for deposit.

#### 6.14.1.2 *Initiative – Reduce system risk by upgrading and replacing old systems with unsupported platform software*

Our current Replace Regulatory Fee accounting system was built in 1996 and is built on software that is no longer supports. Shortly, we are hoping to replace this system with software that will interface with our current docket system and allow across the agency account receivables collections and reporting.

#### 6.14.1.3 *Initiative – Consolidate process to put like functions together in a system and create more efficient reporting*

With the new Accounts Receivable system, we will merge all accounts receivable functions into one system – Regulatory fees, Clerk's Office receipts, and miscellaneous Fiscal Management receipts. Currently the regulatory fees are maintained in one database, the Clerk's Office receivables are in Peachtree, and the Fiscal Management miscellaneous receivables are maintained in an excel spreadsheet. Having all receivables in one system will streamline overall collections as well as reporting which is required both internal and with the Department.

## 6.15 GOAL – (PUBLIC STAFF) ENSURE DATA CONTINUITY FOR END USERS AND IMPROVE OVERALL NETWORK SECURITY

### 6.15.1 Objective – Improve disaster recovery capabilities and network security

#### 6.15.1.1 *Initiative – Refresh UPS*

The agency's existing UPS's are over five years old and are fast approaching their end of life with one already experiencing battery failure. The current UPS's also fail to

provide sufficient power reserves and are aged. The proposed UPS system is a more cost effective way to supply the agency's current and future needs rather than purchase multiple small separate units.

### 6.15.1.2 Initiative – Refresh ASA firewall

The agency's existing ASA Firewall is over four years old and has approached the end of life and advanced functionality for a firewall component in this modern security environment.

Unlike the current firewall the proposed firewall will provide protection of currently attached hardware plus new mobile devices, offer enterprise and cloud based resources and services that provide web reputation and zero-day threat protection, provides four times the existing firewall throughput, and offers multi-core enterprise class CPU's, and Cisco Cloud Web security.

### 6.15.1.3 Initiative – Install Netscaler interface

The Netscaler appliance will provide a secure interface and application load balancing capabilities using a virtual appliance. It can assist in deploying agency-wide applications such as Microsoft Exchange or SharePoint. It is an appliance that accelerates internal and external web applications up to five times, optimizes application availability through advanced L4-7 traffic management, increases security with an integrated application firewall, and can lower costs by increasing web server efficiency.

## 6.15.2 Objective – Enable more reliable email service and capability and improve FOI request capabilities

### 6.15.2.1 Initiative – Install Exchange Server

The existing email system has experienced numerous continuity and connection problems over the last 9-12 months. This has caused downtime for Public Staff users, lost documents, and creates delays when responding to information requests. The new Exchange Server will cut down on network bandwidth requirements and increase responsiveness of the agency's network to end users.

### 6.15.2.2 Initiative – Install Email filtering and archiving software

The email filtering and archiving system will incorporate software to filter out malware from email and provide an archiving setup that is compliant with Executive Order No. 18. Additionally, the archival system will enable FOI requests to be processed in a more efficient manner.

## 6.15.3 Objective – Replace end of life back-end hardware

### 6.15.3.1 Initiative – Refresh file server

The Public Staff's file server has been in service for approximately seven years and is at end of life. It provides critical functionality for the agency's network and is in need of upgrading to avoid failure. In addition, a replacement file server will increase the productivity of the Public Staff through more modern and efficient file management.

### 6.15.3.2 *Initiative – Refresh server blades*

The existing blade servers are approaching end of life and need to be replace before a failure occurs. The agency has previously lost one blade server due to failure. The existing switches are also at end of life and are in need of replacement.

## 6.16 GOAL – (PUBLIC STAFF) ENSURE CONTINUED END USER ACCESS TO NETWORK

### 6.16.1 Objective – Replace end of life or disabled end user equipment

#### 6.16.1.1 *Initiative – Refresh end user PCs, laptops and thin clients*

End user PCs and thin clients are no longer under warranty and some units are beginning to fail.

#### 6.16.1.2 *Initiative – Refresh printers and other peripherals*

Some monitors, scanners, and printers are at end of life, while others are simply no longer under warranty. As parts wear and break, replacement units will need to be purchased.

## 6.17 GOAL – (PUBLIC STAFF) ENHANCE WEBSITE FOR MORE DYNAMIC USER INTERACTION AND CAPABILITIES

### 6.17.1 Objective – Update and add improvements to agency website

#### 6.17.1.1 *Initiative – Update website*

The existing website has not been refreshed in approximately ten years. It has many compatibility problems with current browser technologies. Updates and fixes to the website are time consuming and must be made with software that is not specifically designed for website construction. A new website will provide for multiple device compatibility and ease the task of making modifications to the website.

#### 6.17.1.2 *Initiative – Make improvements to user availability of website*

Updating information on the website is critical to providing current and useful information to the public and utility companies. Making the website more dynamic will assist in this process. Enabling consumers and utility companies to communicate with the Public Staff through the use of web-based electronic forms will aid in ensuring that complaints and documents are received in a timely manner.

## 6.18 GOAL – (PUBLIC STAFF) ENSURE MAINTENANCE OF NETWORK FACILITIES

### 6.18.1 Objective – Maintain current status of licenses and maintenance agreements

#### 6.18.1.1 *Initiative – Purchase annual license renewals and maintenance contracts for network hardware and software*

Annual license renewals are critical to ensuring the function of most of the software used to support the Public Staff network. Timely renewal of these licenses is necessary. Additionally, much of the hardware is under maintenance contracts for rapid repair in the event of failure. These contracts must be maintained to ensure continuity of the agency's operations.

## 6.19 GOAL – (INDUSTRIAL) SERVE NCIC EXTERNAL STAKEHOLDERS ANYTIME, ANYWHERE

Guiding Principles: Any Device, Anytime, Anywhere; Digitize to Modernize

Business Capabilities: Application and Service Modernization; Digital Focus

### 6.19.1 Objective – Enable online access for external users to view and work with data associated with their cases

#### 6.19.1.1 *Initiative – Implement a consolidated case management system with external access*

The current NCIC case management functions are spread across multiple outdated platforms and systems and provide almost no access for external users to review documents or actions pertaining to their cases. The agency seeks to obtain a consolidated case management system that will allow external users to view their data.

- Cost: unknown; issuing RFI to gather information
- Funding: expansion budget request
- Measure: Implementation completed and external access available to basic case information in FY 2016

### 6.19.2 Objective – Enable external users to pay all fees and file all documents online

#### 6.19.2.1 *Initiative – Enhance online fee payment application*

The agency's existing online fee payment application will be enhanced to accept fees in a wider variety of methods, with or without associated documents.

- Cost: existing position salaries only
- Funding: existing receipts
- Measure: all fees can be accepted with or without documents by FY 2016

### 6.19.2.2 *Initiative – Enhance online document filing application*

The agency's existing online document filing application will be enhanced to accept more document types.

- Cost: existing position salaries only
- Funding: existing receipts
- Measure: 50% of all document types can be filed online by FY 2016

## 6.20 GOAL – (INDUSTRIAL) NCIC CLAIMS AND CASES ARE PROCESSED WITH MAXIMAL EFFICIENCY

Guiding Principles: Digitize to Modernize, Incremental vs. Big Bang

Business Capabilities: Application and Service Modernization, IT Operations

### 6.20.1 Objective – Adopt a consolidated system for staff to use for all case management functions

### 6.20.1.1 *Initiative – Select, install, and configure a single adaptive case management system or framework*

This initiative will improve staff efficiency by consolidating multiple aspects of case management into a single system.

- Cost: unknown; issuing RFI to gather information
- Funding: expansion budget request, with ongoing support provided by existing receipts
- Measure: system installed and functional by FY 2016

### 6.20.1.2 *Initiative – Migrate all case data and functions from multiple existing platforms into consolidated system*

As supporting initiative proceeds, case data and functions from multiple systems and applications will be migrated to the consolidated system.

- Cost: unknown; issuing RFI to gather information
- Funding: expansion budget request with ongoing support from existing receipt
- Measure: by FY 2017 90% of all case management functions will be integrated into the consolidated system

### 6.20.2 Objective – Provide user access to integrated insurance coverage data

### 6.20.2.1 *Initiative – Develop an improved coverage research application to leverage multiple data sets*

The existing insurance coverage research function does not fully utilize available data to provide complete information to users. NCIC is developing an improved application that will integrate data from multiple sources into a master database of the best available information.

- Cost: existing position salaries only

- Funding: existing receipts
- Measure: application will be in production by FY 2016

### 6.20.2.2 *Initiative – Provide enhanced external stakeholder access to accurate coverage information*

The master insurance coverage database resulting from previous initiative will be searchable by external users needing to know what carrier is responsible for any given claim.

- Cost: existing position salaries only
- Funding: existing receipts
- Measure: data will be available when supporting initiative (above) is complete, by FY 2016

## 6.20.3 Objective – Enhance electronic data interchange (EDI) capabilities

### 6.20.3.1 *Initiative – Refine data requirements to streamline submissions in conjunction with external stakeholders*

This is an ongoing initiative in conjunction with external stakeholders to continually review, refine and improve the agency's EDI data structures to make submissions as efficient and error-free as possible.

- Cost: existing position salaries only
- Funding: existing receipts
- Measure: ongoing

### 6.20.3.2 *Initiative – Increase the number of transactions that must be submitted via EDI*

Currently NCIC requires all first reports of injury in workers' compensation cases to be transmitted via EDI. This initiative will extend the requirement to include subsequent reports of injury. Specific legal issues must first be resolved before the existing EDI standard can be used for this purpose.

- Cost: existing position salaries only
- Funding: existing receipts
- Measure: depends on resolution of legal issues and/or revision of the EDI standard

## 6.21 GOAL – (INDUSTRIAL) NCIC DATA COLLECTION AND ANALYSIS SERVE BUSINESS FUNCTIONS WELL

Guiding Principles: Measure to Manage

Business Capabilities: Big Data and Analytics

### 6.21.1     Objective – Enhance insurance coverage data

#### 6.21.1.1 *Initiative – Enhance collection and formatting of insurance coverage data*

NCIC has statutory authority to receive insurance coverage data from multiple sources. This initiative will refine the nature and structure of the data from various sources to make all data compatible.

- Cost: existing position salaries plus $15,000
- Funding: existing receipts
- Measure: FY 2014

#### 6.21.1.2 *Initiative – Transmit enhanced data to GDAC in support of the state's business intelligence initiatives*

NCIC already regularly transmits insurance coverage data to GDAC. NCIC will work with GDAC to transition GDAC data structures to accept the improved NCIC data and will be transmitting the enhanced data thereafter.

- Cost: existing position salaries only
- Funding: existing receipts
- Measure: FY 2014 and ongoing

### 6.21.2     Objective – Leverage medical payments data

#### 6.21.2.1 *Initiative – Analyze data for ongoing review of medical and hospital fee schedules.*

NCIC will use medical payments data to inform its ongoing review of medical treatment types and costs for workers compensation cases and will revise medical and hospital fee schedules as needed.

- Cost: existing position salaries only
- Funding: existing receipts
- Measure: FY 2015 and ongoing

## 6.22   GOAL – (CREDIT UNION) PROMOTE SERVICE TO MEMBERS OF NC STATE CHARTERED CREDIT UNIONS

### 6.22.1     Objective – Enable NC credit union members to more easily and efficiently submit complaints securely to the NC Credit Union Division via an online form by FY 2016

#### 6.22.1.1 *Initiative – Development of online form(s)*

Online form to allow credit union members to submit complaints including urgent complaints more quickly.

#### 6.22.1.2 *Initiative – Less data entry and fewer errors*

Technology would allow for information to automatically populate a database to reduce work redundancy and human error.

## 6.23 GOAL – (CREDIT UNION) PROVIDE CREDIT UNION CLIENTS WITH SECURE ENVIRONMENT FOR EXCHANGE OF CONFIDENTIAL INFORMATION WITH DIVISION

### 6.23.1 Objective – Enable NC credit unions to transmit confidential information with Division via an appropriate vehicle by FY 2016 to facilitate regulation and supervision

#### 6.23.1.1 Initiative – Development of a Secure Portal

Portal to allow for exchange of confidential information. (OITS has suggested that SharePoint may suit our needs.)

# 7 DEPARTMENT OF COMMERCE IT ORGANIZATIONAL STRUCTURE (REPORTING STRUCTURE)

*Lines of Business:*

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│               Secretary Sharon Decker                        │
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┌────────────────────────────────────┐   ┌────────────────────┐
│           Core Agencies            │   │     Boards and     │
│                                    │   │    Commissions     │
└────────────────────────────────────┘   └────────────────────┘

┌──────────────────┐ ┌──────────┐┌──────────┐ ┌────────────────┐
│ Commerce Finance,│ │          ││          │ │ Commissioner of│
│ Fiscal Services, │ │          ││          │ │ Banks, Credit  │
│ Human Resources, │ │Employment││Workforce │ │ Union Division,│
│ LEAD, MIS, Office│ │Security  ││Solutions │ │ Industrial     │
│ of the Secretary,│ │          ││          │ │ Commission,    │
│ Public Affairs,  │ │          ││          │ │ Public Staff,  │
│ Rural Development,│ │         ││          │ │ Rural          │
│ Science,         │ │          ││          │ │ Electrification│
│ Technology &     │ │          ││          │ │ Authority,     │
│ Innovation,      │ │          ││          │ │ Utilities      │
│ Wanchese Seafood │ │          ││          │ │ Commission     │
│ Industrial Park, │ │          ││          │ │                │
│ Welcome Centers  │ │          ││          │ │                │
└──────────────────┘ └──────────┘└──────────┘ └────────────────┘
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*Management:*

| Core Agencies | Business Manager | Direct IT Manager |
|---|---|---|
| **Commerce Finance** | Stewart Dickinson | |
| **Fiscal Services** | Shannon Hobby | |
| **Human Resources** | Timothy Mayes | |
| **LEAD** | Jaqueline Keener | |
| **MIS** | Michael King | |
| **Office of the Secretary** | John Hoomani | Michael King |
| **Public Affairs** | Kim Genardo | |
| **Rural Development** | Patricia Mitchell | |
| **Science, Technology & Innovation** | John Hardin | |
| **Wanchese Seafood Industrial Park** | Robert Peele | |
| **Welcome Centers** | Bryan Gupton | |
| **Employment Security** | Dale Folwell | Vacant |
| **Workforce Solutions** | Will Collins | Michael Hoskins |

| Boards and Commissions | Business Manager | Direct IT Manager |
|---|---|---|
| **Commissioner of Banks** | Raymond Grace | Elizabeth Hammond |
| **Credit Union Division** | Rose Connor | Mitchell Myers |
| **Industrial Commission** | Andrew Heath | Grant Pair |
| **Public Staff** | Christopher Ayers | John Garrison |
| **Rural Electrification Authority** | Frances Liles | Lisa Needham |
| **Utilities Commission** | Edward Finley | Lisa Needham |

# 8 ADDITIONAL AGENCY REQUIREMENTS

## 8.1 INNOVATIVE FUNDING SOLUTIONS

None defined.

## 8.2 OPPORTUNITIES FOR STATEWIDE INITIATIVES

The department has identified several opportunities where a statewide approach to business challenges may lead to savings and enhanced efficiencies and resilience. Some of the key areas for statewide initiatives are as follows:

- Unified Grants Management System (where financially viable)
- Virtual desktop and virtualized applications
- Effective electronic forms solution
- Cost-effective electronic document management system
- Mobile Device Management system
- Unify state-wide financial system
- Single authoritative contact management solution

## *Appendix A: List of Major IT Projects*

This purpose of this section is to provide list of major IT projects and applications (>$250,000) that are in progress or planned in this biennium. The table below maps each project to overall goals and strategies.

| Project Name | Short Description | Related Goals and Objectives | Summary of Anticipated Benefits | Approximate Timeframe |
|---|---|---|---|---|
| (Utilities) Replacement Accounts Receivable system | Replace the Regulatory fee database while interfacing with the new docket system and including all other receivables collected in the Commission | Goal 14, Objective 14.1 | Allow for consolidated billings, collections and reporting on accounts receivable with expedited collects due to electronic payments being allowed and received. | 3-6 months |
| (Industrial) Case Management System | Replace existing applications with integrated case management application | Goal 20, Objective 20.1 | More efficient workflow, improved access to data, better user experience | 2 years |
| (Public Staff) ASA Firewall | Refresh firewall, UPS and add Netscaler interface | Goal 15, Objective 15.1 | Replace end of life equipment as well as equipment that has experienced failure.   Improve security of and provide enhancements to network interfaces. | 9 months |
| (Public Staff) Exchange Server | Add Exchange Server to network | Goal 15, Objective 15.2 | Improve continuity and connection problems related to email service.   And enhance the efficiency of complying with FOI requests. | 9 months |
| (Public Staff) File Server | Refresh file server and back-end equipment | Goal 15, Objective 15.3 | Provide end of life replacement for equipment providing critical network functions. | 12 months |
| (Public Staff) | Enhance Website | Goal 17, | Update a website that has not been refreshed in approximately | 6 months |

| Project Name | Short Description | Related Goals and Objectives | Summary of Anticipated Benefits | Approximate Timeframe |
|---|---|---|---|---|
| Website | | Objective 17.1 | 10 years; improve its functionality and capability to provide information to users. | |
| (Public Staff) End User Equipment Replacement | Replace end of life or disabled end user equipment | Goal 16, Objective 16.1 | Refresh end user equipment that has reached end of life or is no longer working. | Ongoing |
| (Rural) GIFTS Grants Management Transition | Two programs within the Rural Economic Development Division will adopt and transition to a common grants management system | Goal 13, Objective 13.1 | Expand access to staff and grantees in the field, 2. Improve efficiency through streamlined processes and information sharing with grantees and partners, 3. Improve access to timely and comprehensive report generation across the CDBG and RGP grant programs, and 4. Cut administrative costs by eliminating the management of separate grants management solutions. | December 2014 |
| (LEAD) AccessNC Merge/Rewrite Project | "Combine the features and functions of the AccessNC application and the Demand Driven Data Delivery (D4) system to provide a one-stop source for North Carolina economic data and Labor Market Information (LMI) data. | Goal 1, Objective 1.1 | Improved data management, enhanced user experience, consolidation of servers. | 8/1/2015 |
| (LEAD) Common Follow-Up System Reporting Module Data Architecture and Analytics | The project will: develop common data definitions that are shared across agencies contributing information to the system; | Goal 2, Objective 2.1 | Improved data management, enhanced analytical capabilities, improved agency specific reporting. | 12/31/2015 |

| Project Name | Short Description | Related Goals and Objectives | Summary of Anticipated Benefits | Approximate Timeframe |
|---|---|---|---|---|
| Prototyping Project | expand the workforce longitudinal data contained in the CFS; improve the data quality and breadth of information contained in the CFS; expand the capacity of CFS to match workforce and education data; design, develop and implement analysis that will help policymakers and practitioners understand the performance of workforce and education programs. | | | |
| (LEAD) Common Follow-Up Modernization Program | The Department of Commerce, Division of Labor and Economic Analysis (Labor and Economic Analysis Division) (DLEA), has been mandated via General Statute § 96-32 to develop, implement, and maintain a common follow-up information management system (CFS) for tracking the performance measures | Goal 2, Objective 2.1 | Improved data management, faster access to data, enhanced analytical capabilities, improved agency specific reporting. | Ongoing Initial enhancements 12/31/2015 |

| Project Name | Short Description | Related Goals and Objectives | Summary of Anticipated Benefits | Approximate Timeframe |
|---|---|---|---|---|
| | related to current and former participants in State job training, education, and placement programs. Since the 1990's Commerce has worked with numerous agency partners and others to put in place a mainframe-based data repository. Commerce needs to modernize the legacy system and improve the workforce data quality. | | | |
| (MIS) Server Consolidation Project | Transitioning Server Support to OITS will correctly align the enterprise support for this service and increase resilience. | Goal 3, Objective 3.1 | This realignment will also allow MIS staff to focus directly on appropriate work and increase productivity of responsible work product. | FY15-FY16 |
| (MIS) LAN Consolidation Project | Transitioning LAN Support to OITS will correctly align the enterprise support for this service and increase resilience. | Goal 3, Objective 3.1 | This realignment will also allow MIS staff to focus directly on appropriate work and increase productivity of responsible work product. | FY15-FY16 |
| (MIS) Commerce Core EADS Project | Transitioning Active Directory Services to OITS | Goal 3, | An enterprise solution will provide a more robust authentication and authorization method for inter-agency and | FY15 |

| Project Name | Short Description | Related Goals and Objectives | Summary of Anticipated Benefits | Approximate Timeframe |
|---|---|---|---|---|
| | will correctly align the enterprise support for this service. | Objective 3.1 | intra-agency access. | |
| ECM Project | To upgrade or replace current ECM system to interface with SCUBI system and develop indexing strategy that encompasses all of DES. | Goal 4, Objective 4.1 | Reduce the use of paper and staff needed to move documents from one department to another. Eliminates need to manually scan faxes, emails, documents, etc., into ECM. Small volume scanning can move to departments that receive documents. | Oct 2014 to April 2015 |
| Data Cleansing | Cleansing of data that will come from legacy systems that will interface with SCUBI | Goal 4, Objective 4.1 | Reduces the chance of system failure/issues at Go Live. Provides opportunity to fix bad data currently in these systems. | Oct 2014 to April 2015 |
| Benefits Repayment | Providing ability for Claimants to repay overpayments by using credit card online. | Goal 4, Objective 4.1 | Returning funds back to the State of NC. Reduces the amount of payments that the staff will need to perform on behalf of the claimant. | August 2014 to November 2014 |
| Interfaces | Ensuring that (internal/external) systems that interface with legacy system will interface with SCUBI | Goal 4, Objective 4.1 | Reduces the chance of system failure/issues at Go Live. Reduces chance of negative impact to other state or federal agencies or vendors | August 2014 to April 2015 |

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